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This annotated bibliography contains selected books, pamphlets, doctoral dissertations, and articles dealing with most aspects of voluntary private support for higher education by foundations, business firms, alumni, and individuals, plus fund raising by colleges and universities. The entries cover the period since 1960 for books and dissertations and since 1963 for articles. (HW)

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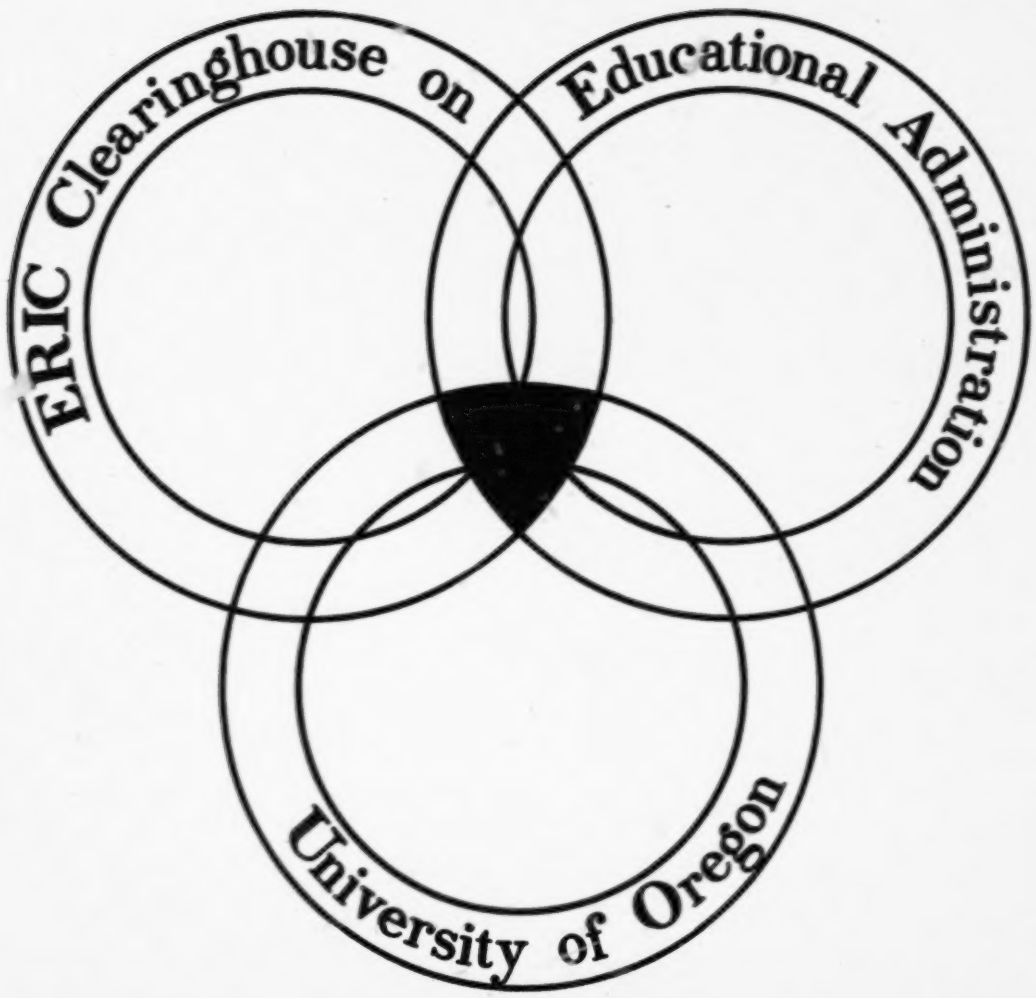

ANNOTATED BIBLIOGRAPHY ON PRIVATE FINANCING OF HIGHER EDUCATION

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PRIVATE FINANCING OF HIGHER EDUCATION

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OFFICE OF EDUCATION

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INTRODUCTION

Burgeoning enrollments coupled with rising price and income levels is rapidly causing a crisis of funds in higher education. Government support has been inadequate in meeting the growing needs, forcing colleges and universities to turn, with increased frequency and urgency, to voluntary private donations as a means of filling the gap.

This bibliography is a highly selected listing of books, pamphlets, doctoral dissertations, and articles. The materials deal with most aspects of voluntary private support for higher education by foundations, business firms, alumni, and individuals, as well as fund raising by colleges and universities. Books and dissertations cover the period since 1960 while articles are listed since 1963. Excluded from the bibliography are writings which deal primarily with junior colleges and student financial aid. However, two entries dealing with fellowships and scholarships are included because of their broader relevance to the financing of instututions of higher education.

Most of the documents listed are available from public or university libraries, publishers, organizations, or University Microfilms. A few documents will soon be available through the ERIC system, each clearly identified in the bibliography.

William Thomas Trulove

BOOKS AND PAMPHLETS

The American Association of Fund-Raising Councils, Inc., Fund raising technique for colleges and universities: a symposium, New York: AAFC, Inc., 1965. Pp. 120.

A collection of eight essays chiefly concerned with helping colleges and universities raise funds from private sources. Discusses the development of reliable donors, use of printed materials in fund raising campaigns, typical faults of fund raisers, qualities essential to successful development officers, foundations today and in the future, and the future of educational fund raising.

American College Public Relations Association, Development Institute: selected papers from the 1961 Summer Institute for College Development Officers, Washington, D. C.: ACPRA, 1962. Pp. 71.

Nine papers give advice on (1) how to plan a development program, (2) how to convince potential donors of an institution's needs, (3) how to be most successful in tapping alumni resources, (4) how to tap company resources (including comments on characteristics of company giving), (5) how to find large special gifts, (6) how to use public relations in a development program, (7) how to most effectively involve boards of trustees in a development program, (8) how, when, where and why to use the counsel of professional fund raisers, and (9) how to put a successful development program into action.

Andrews, F. Emerson, ed., Foundations: 20 viewpoints, New York: Russell Sage Foundation, 1965. Pp. 108.

A collection of 20 articles which may be divided into (1) those dealing with broad discussions of private philanthropy and the freely operating philanthropic foundation, (2) those identifying fields in which foundation grants were made during 1962, 1963, and 1964, and discussing foundation operations in specific areas based upon the experience of various writers, and (3) those dealing with aspects of operating foundations such as training foundation executives and foundation tax and legal status. Of particular interest are pages 89-94 in which hints are given to educational institutions for framing grant proposals and pages 95-99 in which foundation procedures for evaluating grant requests are examined.

Bennett, John E., Identification and cultivation of constituencies. Paper presented at the Thirteenth Annual Summer Workshop of the Council for the Advancement of Small Colleges, Santa Fe, New Mexico, August 5-8, 1968. Pp. 8. This document will soon be available through the ERIC system.

Views giving to higher education as part of the larger philanthropic picture, with emphasis on the sources of gifts. Finds that higher education

has fewer constituencies from which to expect support than do most other gift-dependent institutions, but that these constituencies are of high quality, as indicated by the fact that six of the twelve largest gifts made in 1967 went to higher education. Methods of competing effectively for funds are discussed with reference to (1) faculty, students, and staff, (2) foundations, (3) corporations, and (4) individuals.

Brammer, Lowell H., Annual campaigns, bigger needs -- better ways. Paper distributed to participants at the Thirteenth Annual Summer Workshop of the Council for the Advancement of Small Colleges, Santa Fe, New Mexico, August 5-8, 1968. Pp. 22. This document will soon be available through the ERIC system.

Defines the annual fund raising campaign and comments on how it can be made most effective.

Brammer, Lowell H., How to implement annual giving for the small colleges. Paper presented at the Thirteenth Annual Summer Workshop of the Council for the Advancement of Small Colleges, Santa Fe, New Mexico, August 5-8, 1968. Pp. 13. This document will soon be available through the ERIC system.

Champions the annual campaign as a fund raising device. Discusses the ways in which such a campaign is beneficial to a college while suggesting techniques to help insure fund raising success.

Council for Financial Aid to Education, Inc., Guide Lines to Voluntary Support of American Higher Education, New York: CFAE, Inc., 1963. Pp. 42.

A statistical distillation, with commentary, of data gathered biennially on the voluntary support of higher education beginning with 1954-55 and extending to 1960-61. Emphasizes (1) the amounts of voluntary support procured by the colleges and universities participating in the biennial surveys, and from what sources; (2) the emerging patterns of voluntary contributions by identifiable sources to the several categories of colleges and universities; (3) the rates of growth between 1954-55 and 1960-61, in the volume of voluntary contributions from seven identifiable sources to the group of 493 institutions of higher education that participated in all four surveys; (4) the potential of voluntary support at the end of the present decade if the volume of contributions continues to grow at the respective rates of increase for each source between 1954-55 and 1960-61.

Council for Financial Aid to Education, Inc., 1962-1963 voluntary support of America's colleges and universities, New York: CFAE, Inc., 1964. Pp. 87.

Reports results of the fifth biennial survey of voluntary support to colleges and universities. Includes (1) a summary of the trends of private support to higher education, (2) a listing of the amounts of aid received by individual institutions and classes of institutions, (3) a listing of the donors and the objects of their contributions, (4) an analysis of the capital structures of participating institutions with emphasis on endowments, plant investment, value of the educational establishment, and capital campaigns completed since 1958, (5) an analysis of institutions grouped by geographic region, and (6) a comparison of total educational expenditures to gross national product and total personal income.

Curti, Merle and Roderick Nash, Philanthropy in the shaping of American higher education, New Brunswick: Rutgers University Press, 1965. Pp. 340.

A comprehensive study from an historical perspective of the significance of private, voluntary support for American higher education, emphasizing its role as a force shaping higher education. Covers all types of private financial support from 1638 to 1963.

Cutlip, Scott M., Fund raising in the United States, New Brunswick: Rutgers University Press, 1965. Pp. 553.

Traces the evolution of American fund raising from the early individual missions of begging to the recent highly successful business-like campaigns that have come to rely heavily on public relations techniques. Organized, public-relations-oriented fund raising is found to have been highly beneficial to our welfare, health, recreational, and educational institutions. Offers suggestions for modernizing fund raising campaigns as well as insights into the development of the current philanthropic structure.

Lineham, Jean Dinwoodey, ed., Some aspects of educational fund raising, Washington, D. C.: American Alumni Council and American College Public Relations Association, 1961. Pp. 284.

A group of 53 articles covering aspects of fund raising and development such as (1) the climate, appeal, and organization for private support, (2) case histories of capital campaigns, (3) the nature and operation of an alumni fund, (4) developing support from several constituencies, (5) immediate and deferred special gifts, and (6) recommended approaches and procedures in fund raising.

Council for Financial Aid to Education, Inc., Division of Research, College capital campaigns, New York: CFAE, Inc., 1964. Pp. 31.

Studies capital campaigns undertaken by the 278 reporting colleges and universities between 1959 and 1963. Reports the amounts raised in the various campaigns, gives the record of success by region and state, and details the type of control of each reporting institution. Also analyzes

short-of-goal campaigns with attention directed toward leadership, constituency, goals, cases for need, nature of the campaigns, and comments by professional fund raisers. The information is distilled into some conclusions that may help planners of fund raising campaigns avoid common pitfalls.

Halstead, D. Kent, College and university endowment status and management, Washington, D. C.: United States Government Printing Office, 1965. Pp. 81.

Presents findings of the U. S. Office of Education's endowment survey for 1963 as well as related historical data derived from the U.S.O.E. biennial Financial Statistics of Higher Education. The analysis, based upon a sample of 172 institutions, covers (1) the role of endowment in higher education, (2) patterns of support for endowment, (3) the structure of investments and investment management, and (4) endowment fund management. Policy recommendations are made for endowment management and a short annotated bibliography is included.

Harris, Seymore E., Higher education: resources and finance, New York: McGraw-Hill, 1962. Pp. 713.

Includes in Chapters 28 through 32 results of a questionnaire addressed to 50 institutions of higher education (IHE) with the largest endowments. Seeks to find the class, education, grades, and occupation of the 24 largest donors to each IHE. Compares the needs of the 50 IHE with respect to gifts received, sources of gifts for different types of institutions, numbers enrolled and numbers of alumni as factors determining economic status, each institution's command of the philanthropic dollar, and the relation of results to the type and quality of financial management.

Stresses in Chapters 34 through 41 the declining significance of endowment fund income when related to rising enrollments, increased importance of other sources of income, and rising price and income levels. Examines some mistakes in endowment fund management and proposes accounting methods that might bring larger returns on endowment.

Ketchum, David S., Capital campaign programs. Paper presented at the Thirteenth Annual Summer Workshop of the Council for the Advancement of Small Colleges, Santa Fe, New Mexico, August 5-8, 1968. Pp. 13. This document will soon be available through the ERIC system.

Details the advantages for colleges and universities of well conducted capital campaigns. Most of the document is a careful presentation of pre-campaign steps necessary for a successful campaign, followed by discussion of the organization and execution of the campaign. Finds one of the most significant elements of a successful campaign to be a catchy theme around

which to develop promotional efforts, as people prefer to give to opportunities rather than needs.

Morse, John F., Higher fees and the position of private institutions. In Seymore E. Harris (Ed.), Higher education in the United States: the economic problems. Cambridge: Harvard University Press, 1960. Pp. 48-51.

Discusses the implications of higher tuition and fees on the financing of private institutions of higher education.

Seymore, Harold J., Designs for fund raising, New York: McGraw-Hill, 1966. Pp. 210.

Describes the required knowledge about people, causes, campaign procedures, techniques, goals, programs, professional help, and current patterns of gifts and givers necessary for successful fund raising. Summarizes what many people involved in the field have learned and should be of considerable value to those planning a fund raising campaign.

Southern Regional Education Board, Financing higher education: sources of financing, Number 20 in a Series, Atlanta, SREB, 1966. Pp. 10.

Broadly describes sources of finance for both public and private higher education for the United States since World War II.

Umbeck, Sharvy G., Long range planning and its implications for development. Paper presented at the Thirteenth Annual Summer Workshop of The Council for the Advancement of Small Colleges, Santa Fe, New Mexico, August 5-8, 1968. Pp. 18. This document will soon be available through the ERIC system.

Discusses on pages 16-18 the role of long-range planning with respect to college fund raising, development offices, and development officers. Points out the responsibilities of the college fund raising organization in insuring success of the long-range plan.

Venman, William C., Gift annuity agreements for colleges, Ann Arbor: University of Michigan, 1962. Pp. 33.

Summarizes dissertation research on gift annuity agreements conducted by the author. Topics covered are (1) what gift annuity agreements are, (2) who uses them, (3) how they are used, (4) what results can be expected, (5) guidelines for their use, (6) tax effects on the donor, (7) current usage by colleges and universities, (8) recommendations for their development, (9) model contracts, and (10) a bibliography.

Wireman, Billy O., The development office and the development officer. Paper presented at the Thirteenth Annual Summer Workshop of the Council for the Advancement of Small Colleges, Santa Fe, New Mexico, August 5-8, 1968. Pp. 16. This document will soon be available through the ERIC system.

Traces the evolution of college development offices and development officers and defines the concept of development as it is currently used. Discusses efficient organization of the development office, and outlines the role, responsibilities, and necessary qualities of the successful development officer. Concludes that the heart of the fund raising problem is mobilization of public emotions and opinion to favor higher education.

DISSERTATIONS

Alexion, John C., The tuition refund plan: a research of the contributions to and extent of this little-known form of higher education cooperation with American industry. (Doctoral dissertation, New York University) Ann Arbor, Mich.: University Microfilms, 1964. No. 65-959.

Describes existing programs whereby an employee takes classes at a college or university, with his tuition and expenses being fully or partially refunded by his employer.

Lady, Roy Andrew, A case study of the Foundation for Independent Colleges, Inc., of Pennsylvania: an examination of the attitudes and opinions of member presidents toward this organization. (Doctoral dissertation, The Pennsylvania State University) Ann Arbor, Mich.: University Microfilms, 1967. No. 68-8715.

Compiles a detailed historical account of the Foundation for Independent Colleges, Inc., of Pennsylvania (FIC) and examines attitudes and opinions of member college presidents with respect to FIC. Finds that (1) it is desirable to include and involve businessmen on fund raising teams, (2) present distribution formulas have little opposition, (3) new FIC members need training and orientation if maximum effectiveness is to be achieved, (4) experience gained in FIC solicitations is of little value in each member's own local appeals, and (5) industry is the largest contributor to FIC and its continued success depends upon maintaining the interest of industry.

Morton, Benjamin L., State and regional cooperative fund raising associations of private colleges and universities: a study of the organizational development, membership characteristics, financial importance, and potential of the associations. (Doctoral dissertation, University of Michigan) Ann Arbor, Mich.: University Microfilms, 1963. No. 63-6929.

Ascertains the importance and potential significance of state and regional cooperative fund raising organizations to their member institutions and to higher education in general. Includes a history of business corporation philanthropy, a history of fund raising cooperatives, an identification of the types of institutions that are members of the cooperatives and a comparison of the funds acquired in this way to the general budgets. Concludes that, as they now operate, fund raising cooperatives appeal more to smaller private liberal arts colleges, that gifts received through this source will continue to increase both relatively and absolutely, and that this source of funds will comprise the major portion of income for smaller liberal arts colleges in the future.

Schwartz, Robert A., Private philanthropic contributions — an economic analysis. (Doctoral dissertation, Columbia University) Ann Arbor, Mich.: University Microfilms, 1966. No. 67-5802.

Theoretical analysis of the act of giving and its rationality when observed from the viewpoint of an economist. Economic benefits of philanthropy to donors are analyzed.

Teague, Bill, Characteristics of donors and non-donors to higher education among members of Churches of Christ in the United States. (Doctoral dissertation, University of California at Los Angeles) Ann Arbor, Mich.: University Microfilms, 1965. No. 65-12686.

Points out need for additional income in higher education, identifies prominent potential sources of support, and presents a systematic review of the characteristics of a selected ideological group in the United States. Of primary concern are institutions with religious affiliations. Concludes that donations are made on the basis of emotion rather than logic which implies that successful fund raising programs of the future must be designed to have emotional appeal.

Timmins, Richard H., A study of three national efforts in fund raising for colleges and universities. (Doctoral dissertation, Columbia University) Ann Arbor, Mich.: University Microfilms, 1962. No. 63-5863.

Examines the development of cooperative fund raising activities for higher education in the United States and reviews the literature pertaining to the finance of higher education. Finds that the major source of support for fund raising cooperatives has been industry. Advantages of the cooperatives seem to be that they inform the public about higher education and its needs, they give educational and industrial leaders an opportunity to exchange ideas, and they lower the total cost of acquiring funds for the member institutions by introducing economies of scale in fund raising.

Venman, William Chase, Gift annuity agreements of colleges. (Doctoral dissertation, University of Michigan) Ann Arbor, Mich.: University Microfilms, 1962, No. 63-467.

Evaluates gift annuity agreements as a fund raising device for colleges and universities to show users of such agreements how they may be used most

effectively, and to show prospective users how they may evaluate the device for use in their own institutions. Reviews the literature, summarizes tax information as it affects agreements, surveys 438 institutions using such agreements to determine current practice, and makes recommendations for their use.

Waldo, Robert G., A case study of the impact of research money upon the administration of the University of Washington. (Doctoral dissertation, University of Southern California) Ann Arbor, Mich.: University Microfilms, 1963. No. 64-2608.

Reviews literature dealing with the impact of sponsored research on higher education; looks at sources, solicitations, and uses of outside money in higher education between 1948 and 1960; and analyzes the impact of sponsored research on the administration of the University of Washington. Finds that organization, policies, and basic purposes of the University of Washington have shifted to accommodate the task of performing research supported by outside funds.

PERIODICALS

Bolman, Frederick deW., Caution needed in matching grants, Foundation News, January, 1967, 8, 4-6.

Suggests that private foundations be cautious in providing matching funds for federal grants. Resources of the government are such that the entire support of foundations could be used in matching funds with the danger of political domination of foundation programs being the result.

Bolman, Frederick deW., The effect of government grants on foundations, Educational Record, Winter 1968, 49, 103-108.

Argues that the great increase in federal grants has neither prevented increases in total philanthropic giving nor impeded a rise in total dollars granted by foundations each year, but rather has affected the areas in which foundations are active. Most dramatically, the proportion of grants made to education by foundations has declined by half in the past decade while other areas have shown relative gains. Concludes that foundations should not reject making grants in an area just because the federal government is also interested. Foundations which are not politically motivated can provide vital support for programs that might be unpopular with government for political reasons.

Brown, Courtney C., Academic fund raising, School and Society, April 17, 1965, 93, 240-242.

Points out how the major sources of private funds have changed from individuals and institutions of great wealth to individuals, foundations, and corporations. Finds that gifts are now usually smaller and given under more restrictive conditions than in the past. Outlines some of the more likely sources of funds, suggests how they might be tapped, and discusses some general problems associated with fund raising.

Foundation applications: some guidelines, Foundation News, January 1965, 6, 5-6.

Describes guidelines for information typically required by foundations when approached by individuals or institutions wishing to apply for grants.

Hunter, Willard, Education is not a loophole, Liberal Education, May 1966, 52, 211-217.

Traces the changing attitudes of Congress and the Internal Revenue Service concerning tax deductions for charitable gifts and shows how these changing attitudes affect higher education. Points out that administrators in higher education should pay more attention to these attitudes and be prepared to block attempts to label higher education a tax loophole. Probable effects of recent Internal Revenue Service rulings are explored.

Kirk, Grayson, Changing patterns of public and private support for higher education, The Journal of Negro Education, Summer 1967, 36, 249-257.

Speaks generally of the shortage of funds in higher education with particular emphasis given to endowments and how to increase their income, voluntary support by foundations, voluntary support by business, and support by alumni and other individuals. Concludes that, even with phenomenal growth, private aid will not be able to fill the growing needs of higher education and that, if quality is to be maintained, government will have to play an ever increasing role.

Millett, John D., Financing higher education: Ten years later, Educational Record, January 1963, 44, 44-52.

Discusses financial problems of higher education as they have evolved since 1950. Shows comparisons of sources of funds for public and private colleges and universities between 1950 and 1960.

Morriset, Lloyd N., A foundation's influence on education, Phi Delta Kappan, May 1965, 46, 442-446.

Finds benefits of foundation grants to be (1) individual study, research, and travel opportunities, (2) application of pressures to set new standards, goals, and levels of required excellence, (3) provision of demonstration projects (e.g., college honors programs) that bring new techniques to public notice, (4) training of people for new fields as well as training of people for fields where training has not traditionally been a prerequisite (e.g., college administration), (5) dissemination of knowledge, and (6) basic research grants in areas of neglect or current interest. Finds a mutual interdependence between foundations and higher education.

Opulente, Blaise J., Humanistic scholarship and foundation grants, The Catholic Educational Review, December 1964, 62, 590-602.

Investigates the poor record of the humanities in attracting foundation grants and suggests that certain attitudes, mannerisms, and modes of behavior typical of individuals in the humanities make them seem less worthy from the foundation viewpoint. Data is presented showing the ranking of humanities relative to other areas in attracting foundation support.

Pattillo, Manning M., Foundations and the private college, Liberal Education, December 1965, 51, 504-511.

Discusses the relative importance of foundations in financing higher education, describes the general types of foundations and their individual characteristics, and identifies disciplines that usually qualify for grants. Spends some time identifying problem areas of higher education that may be of interest to foundations in the future such as college curriculum development, personalization of higher education, and improvement of evaluation.

Rosenhaupt, Hans, The Woodrow Wilson Fellowship Program: achievements and problems, The Journal of Higher Education, May 1964, 35, 239-246.

Analyzes the effectiveness of the Woodrow Wilson Fellowship Program in helping to satisfy the need for university teachers. Explores such things as number of fellowship holders that succeed, distribution of the grants, and occupation of the past recipients.

Schaeffer, Daniel H. and Anthony Papalia, Endowed chairs: an approach to excellence, The Journal of Higher Education, December 1966, 37, 506-508.

Suggests endowed chairs as a means of attracting well qualified individuals to a school's faculty. An additional benefit is that endowed chairs provide a magnetic tradition by which colleges and universities have been extremely successful in garnering private donations.